



COPY OF PAPERS
ORIGINALLY FILED

Receipt

Please type a plus sign (+) in this box → ☐

PTO/SB/21 (08-00)

Approved for use through 10/31/2002. OMB 0651-0031

U.S. Patent and Trademark Office: U.S. DEPARTMENT OF COMMERCE

Under the Paperwork Reduction Act of 1995, no persons are required to respond to a collection of information unless it displays a valid OMB control number.

TRANSMITTAL FORM (to be used for all correspondence after initial filing)	Application Number	10/023,472
	Filing Date	12/17/2001
	First Named Inventor	William J. Kerns et al.
	Group Art Unit	1762
	Examiner Name	
Total Number of Pages in This Submission	Attorney Docket Number	2460

ENCLOSURES (check all that apply)

<input checked="" type="checkbox"/> Fee Transmittal Form <input checked="" type="checkbox"/> Fee Attached <input type="checkbox"/> Amendment / Reply <input type="checkbox"/> After Final <input type="checkbox"/> Affidavits/declaration(s) <input type="checkbox"/> Extension of Time Request <input type="checkbox"/> Express Abandonment Request <input type="checkbox"/> Information Disclosure Statement <input type="checkbox"/> Certified Copy of Priority Document(s) <input checked="" type="checkbox"/> Response to Missing Parts/ Incomplete Application <input checked="" type="checkbox"/> Response to Missing Parts under 37 CFR 1.52 or 1.53	<input type="checkbox"/> Assignment Papers (for an Application) <input checked="" type="checkbox"/> Drawing(s) (corrected) <input type="checkbox"/> Licensing-related Papers <input type="checkbox"/> Petition <input type="checkbox"/> Petition to Convert to a Provisional Application <input type="checkbox"/> Power of Attorney, Revocation Change of Correspondence Address <input type="checkbox"/> Terminal Disclaimer <input type="checkbox"/> Request for Refund <input type="checkbox"/> CD, Number of CD(s) _____	<input type="checkbox"/> After Allowance Communication to Group <input type="checkbox"/> Appeal Communication to Board of Appeals and Interferences <input type="checkbox"/> Appeal Communication to Group (Appeal Notice, Brief, Reply Brief) <input type="checkbox"/> Proprietary Information <input type="checkbox"/> Status Letter <input checked="" type="checkbox"/> Other Enclosure(s) (please identify below): Request for Corrected Filing Receipt; Office Communication and Return Postcard
Remarks		

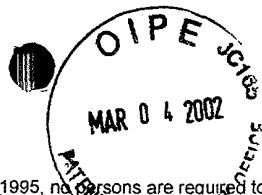
SIGNATURE OF APPLICANT, ATTORNEY, OR AGENT

Firm or Individual name	Beck & Tysver, P.L.L.C.
Signature	<i>Stephanie Smith</i>
Date	2/18/02

CERTIFICATE OF MAILING

I hereby certify that this correspondence is being deposited with the United States Postal Service with sufficient postage as first class mail in an envelope addressed to: Commissioner for Patents, Washington, DC 20231 on this date: <u>2-18-02</u>			
Typed or printed name	Mary S. Keller		
Signature	<i>Mary S. Keller</i>	Date	<u>2-18-02</u>

Burden Hour Statement This form is estimated to take 0.2 hours to complete. Time will vary depending upon the needs of the individual case. Any comments on the amount of time you are required to complete this form should be sent to the Chief Information Officer, U.S. Patent and Trademark Office, Washington, DC 20231. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Assistant Commissioner for Patents, Washington, DC 20231

COPY OF PATENTS
ORIGINALLY FILED

PTO/SB/17 (10-01)

Approved for use through 10/31/2002. OMB 0851-0032
U.S. Patent and Trademark Office; U.S. DEPARTMENT OF COMMERCE

Under the Paperwork Reduction Act of 1995, no persons are required to respond to a collection of information unless it displays a valid OMB control number.

FEE TRANSMITTAL for FY 2002

Patent fees are subject to annual revision.

TOTAL AMOUNT OF PAYMENT (\$)
454.00

Complete if Known

Application Number	10/023,472
Filing Date	12/17/2001
First Named Inventor	William J. Kerns, et al.
Examiner Name	
Group Art Unit	1762
Attorney Docket No.	2460

METHOD OF PAYMENT

1. ☐ The Commissioner is hereby authorized to charge indicated fees and credit any overpayments to:

Deposit Account Number: 500-246
Deposit Account Name: Beck & Tysver

- ☒ Charge Any Additional Fee Required Under 37 CFR 1.16 and 1.17
☒ Applicant claims small entity status. See 37 CFR 1.27

2. ☒ Payment Enclosed:

☒ Check ☐ Credit card ☐ Money Order ☐ Other

FEE CALCULATION

1. BASIC FILING FEE

Large Entity Small Entity

Fee Code	Fee (\$)	Fee Code	Fee (\$)	Fee Description	Fee Paid
101	740	201	370	Utility filing fee	370.00
106	330	206	165	Design filing fee	
107	510	207	255	Plant filing fee	
108	740	208	370	Reissue filing fee	
114	160	214	80	Provisional filing fee	

SUBTOTAL (1) (\$)
370.00

2. EXTRA CLAIM FEES

Total Claims: 20
Independent Claims: 5
Multiple Dependent: 15

Extra Claims: 20** = 20 x 0.00 = 0.00
- 3** = 2 x 42.00 = 84.00

Large Entity Small Entity

Fee Code	Fee (\$)	Fee Code	Fee (\$)	Fee Description
103	18	203	9	Claims in excess of 20
102	84	202	42	Independent claims in excess of 3
104	280	204	140	Multiple dependent claim, if not paid
109	84	209	42	** Reissue independent claims over original patent
110	18	210	9	** Reissue claims in excess of 20 and over original patent

SUBTOTAL (2) (\$)
84.00

**or number previously paid, if greater; For Reissues, see above

FEE CALCULATION (continued)

3. ADDITIONAL FEES

Fee Code	Large Entity (\$)	Small Entity (\$)	Fee Description	Fee Paid	
105	130	205	65	Surcharge - late filing fee or oath	
127	50	227	25	Surcharge - late provisional filing fee or cover sheet	
139	130	139	130	Non-English specification	
147	2,520	147	2,520	For filing a request for ex parte reexamination	
112	920*	112	920*	Requesting publication of SIR prior to Examiner action	
113	1,840*	113	1,840*	Requesting publication of SIR after Examiner action	
115	110	215	55	Extension for reply within first month	
116	400	216	200	Extension for reply within second month	
117	920	217	460	Extension for reply within third month	
118	1,440	218	720	Extension for reply within fourth month	
128	1,960	228	980	Extension for reply within fifth month	
119	320	219	160	Notice of Appeal	
120	320	220	160	Filing a brief in support of an appeal	
121	280	221	140	Request for oral hearing	
138	1,510	138	1,510	Petition to institute a public use proceeding	
140	110	240	55	Petition to revive - unavoidable	
141	1,280	241	640	Petition to revive - unintentional	
142	1,280	242	640	Utility issue fee (or reissue)	
143	460	243	230	Design issue fee	
144	620	244	310	Plant issue fee	
122	130	122	130	Petitions to the Commissioner	
123	50	123	50	Processing fee under 37 CFR 1 17(q)	
126	180	126	180	Submission of Information Disclosure Stmt	
581	40	581	40	Recording each patent assignment per property (times number of properties)	
146	740	246	370	Filing a submission after final rejection (37 CFR § 1.129(a))	
149	740	249	370	For each additional invention to be examined (37 CFR § 1.129(b))	
179	740	279	370	Request for Continued Examination (RCE)	
169	900	169	900	Request for expedited examination of a design application	

Other fee (specify) _____

*Reduced by Basic Filing Fee Paid

SUBTOTAL (3) (\$)
454.00

SUBMITTED BY

Name (Print/Type) Stephanie J. Smith

Registration No. 34,437
(Attorney/Agent)

Complete (if applicable)

Telephone 612-915-9633

Signature

Date

2/18/02

WARNING: Information on this form may become public. Credit card information should not be included on this form. Provide credit card information and authorization on PTO-2038.

Burden Hour Statement: This form is estimated to take 0.2 hours to complete. Time will vary depending upon the needs of the individual case. Any comments on the amount of time you are required to complete this form should be sent to the Chief Information Officer, U.S. Patent and Trademark Office, Washington, DC.

10/023,472

PATENT

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

Applicant:	William J. Kerns et. al	Examiner:	
Serial No.:	10/023,472	Group Art Unit:	1762
Filing Date:	December 17, 2001	Docket No.:	2460
Title	Identification Particle and System and Method for Retrospective Identification Using Spectral Codes		

Date of Deposit: 2-18-02

I hereby certify that this paper is being deposited in the United States Postal Service, as first class mail, in an envelope addressed to: Assistant Commissioner for Patents, Washington, DC 20231

Signature: Mary S. KellerPrinted Name: Mary S. Keller

REQUEST FOR CORRECTED FILING RECEIPT

Assistant Commissioner for Patents
Washington, DC 20231

On December 17, 2001 we filed a Utility Patent Application and received a Filing Receipt with an incorrect spelling of one of the inventors. William J. KERNS is the proper spelling; the Filing Receipt incorrectly says "William J. KEMS".

This was a Patent Office typo and therefore no fees are due. A copy of the Filing Receipt is attached with the correct spelling. Please make the noted change on the Filing Receipt.

Respectfully Submitted,
MICROTRACE, INC.
By its attorneys:

Date: 2/10/02

Stephanie J. Smith
Registration No. 34,437
Beck & Tysver, P.L.L.C.
2900 Thomas Ave., #100
Minneapolis, MN 55416
Telephone: (612) 915-9636
Fax: (612) 915-9637



UNITED STATES PATENT AND TRADEMARK OFFICE

COMMISSIONER FOR PATENTS
UNITED STATES PATENT AND TRADEMARK OFFICE
WASHINGTON, D.C. 20231
www.uspto.gov

APPLICATION NUMBER	FILING DATE	GRP ART UNIT	FIL FEE REC'D	ATTY. DOCKET NO.	DRAWINGS	TOT CLAIMS	IND CLAIMS
10/023,472	12/17/2001	1762	0.00	2460	8	20	5

CONFIRMATION NO. 3563

FILING RECEIPT



OC00000007372717

Stephanie J. Smith
Beck & Tysver, P.L.L.C.
2900 Thomas Ave. S., Suite 100
Minneapolis, MN 55416

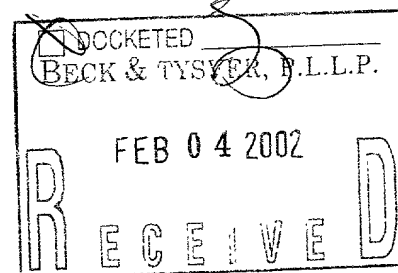
COPY OF PAPERS
ORIGINALLY FILED

Date Mailed: 01/28/2002

Receipt is acknowledged of this nonprovisional Patent Application. It will be considered in its order and you will be notified as to the results of the examination. Be sure to provide the U.S. APPLICATION NUMBER, FILING DATE, NAME OF APPLICANT, and TITLE OF INVENTION when inquiring about this application. Fees transmitted by check or draft are subject to collection. Please verify the accuracy of the data presented on this receipt. If an error is noted on this Filing Receipt, please write to the Office of Initial Patent Examination's Customer Service Center. Please provide a copy of this Filing Receipt with the changes noted thereon. If you received a "Notice to File Missing Parts" for this application, please submit any corrections to this Filing Receipt with your reply to the Notice. When the USPTO processes the reply to the Notice, the USPTO will generate another Filing Receipt incorporating the requested corrections (if appropriate).

Applicant(s)

Kerns
William J. Kerns, New Brighton, MN;
Brian Brogger, Blaine, MN;
Justin L. Esterberg, Andover, MN;



Domestic Priority data as claimed by applicant

THIS APPLICATION IS A CIP OF 09/897,553 07/02/2001
WHICH IS A DIV OF 09/283,174 04/01/1999 PAT 6,309,690
AND CLAIMS BENEFIT OF 60/256,209 12/15/2000

Foreign Applications

If Required, Foreign Filing License Granted 01/26/2002

Projected Publication Date: To Be Determined - pending completion of Missing Parts

Non-Publication Request: No

Early Publication Request: No

** SMALL ENTITY **

Title

Identification particles and system and method for retrospective identification using spectral codes

20040224 2442001

10/023,472

COPY OF PAPERS
ORIGINALLY FILEDPATENT

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

Applicant:	William J. Kerns et. al	Examiner:	
Serial No.:	10/023,472	Group Art Unit:	1762
Filing Date:	December 17, 2001	Docket No.:	2460
Title	Identification Particle and System and Method for Retrospective Identification Using Spectral Codes		

Date of Deposit: 2-18-02

I hereby certify that this paper is being deposited in the United States Postal Service, as first class mail, in an envelope addressed to: Assistant Commissioner for Patents, Washington, DC 20231

Signature: Mary S. Keller

Printed Name: Mary S. Keller

**COMMUNICATION REGARDING DECLARATION
AND CORRECTED DRAWINGS**

Assistant Commissioner for Patents
Washington, DC 20231

The Notice to File Missing Parts also requested the Declaration. The original signed Declaration was submitted with the initial filing on 12/17/2001, so has not been included with this filing.

The Notice to File Missing Parts also requested revised drawings. Fig. 2 of the drawings submitted herewith has been revised to delete a cross out that appeared in the originally filed Fig. 2. In all other respects the drawings submitted herewith are the same as the originals. If the drawings are deficient in any other respect, the Applicant requests a specific description of such deficiency and will make any necessary correction.

COPY OF PAPERS
ORIGINALLY FILED

Respectfully Submitted,
MICROTRACE, INC.
By its attorneys:

Date:

2/18/02

Stephanie J. Smith

Stephanie J. Smith
Registration No. 34,437
Beck & Tysver, P.L.L.C.
2900 Thomas Ave., #100
Minneapolis, MN 55416
Telephone: (612) 915-9636
Fax: (612) 915-9637

204080 242007